**XXXXX RESEARCH COMMOTTEE**

**REGISTRATION NUMBER**

**(IF APPLICABLE):**

|  |  |
| --- | --- |
| Title of report |  |
| Author of report |  |
| Bodies/persons consulted |  |
| Purpose of report |  |
| Reporting period[[1]](#footnote-1) |  |
| Date submitted |  |

1. **Executive summary / discussion**
2. **Details of the CRERC/e committee composition** *(CRERCs with departmental ERCs must include the composition of the departmental ERCs below or append the information in section 10 of the report)*

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Total number of members |  | | | | |
| Number of members not affiliated to the institution |  | | | | |
| Gender balance (number of females and males) | Females |  | Males |  | |
| Diversity | Black | White | Coloured | Indian | Other |
|  |  |  |  |  |
| Members | Title, name and surname | Expertise (i.e. quantitative, qualitative, statistics, counselling) | Ethics training (Level 1 – 3, date of last training, orientation of new members  i.e. Level 1, 2018; Level 2 Module 1, 2019) | | |
| Chairperson |  |  |  | | |
| Deputy chairperson |  |  |  | | |
| Secretary |  |  |  | | |
| Members |  |  |  | | |
|  |  |  |  | | |
|  |  |  |  | | |
|  |  |  |  | | |
| New members |  |  |  | | |
|  |  |  |  | | |
|  |  |  |  | | |
|  |  |  |  | | |
| List any challenges encountered in meeting the membership requirements as stipulated in the ERC’s terms of Reference |  | | | | |

1. **Number of meetings during the reporting period**

*(CRERCs with departmental ERCs must include the relevant information of the departmental ERCs below or append the information in section 10 of the report)*

|  |  |
| --- | --- |
| 3.1 Number of meetings held |  |
| 3.2 Number of meetings that were not quorate |  |
| 3.3 Average review turnaround time  *(Average time from start of application review process to the time decision is made and communicated to applicants)* |  |
| 3.4 Number of decisions made by the Chairperson pertaining to applications under the delegated authority of the ERC |  |
| 3.5 Comments/any additional information |  |

1. **Details about the Terms of Reference and Code of Conduct**

*(CRERCs with departmental ERCs must include the relevant information of the departmental ERCs below or append the information in section 10 of the report)*

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| 4.1 Is the TOR of the ERC updated and  Operational? | Yes |  | NO |  |
| 4.2 Specify the date when the TOR was last updated and recommended for approval by the URERC |  | | | |
| 4.3 Is the Code of Conduct for the ERC operational? |  | | | |
| 4.4 List any challenges encountered in meeting the requirements of the TOR/Code of Conduct |  | | | |
| 4.5 Comments/any additional information |  | | | |

1. **Details about the Standard Operating Procedures**

*(CRERCs with departmental ERCs must include the relevant information of the departmental ERCs below or append the information in section 10 of the report)*

|  |  |  |
| --- | --- | --- |
| **List the SOPs that are operational** | **Can it be accessed online?** | **If ‘Yes’ please provide URL**  **If ‘No’ what access routes are followed.** |
|  |  |  |
|  |  |  |
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|  |  |  |
|  |  |  |

1. **Number of applications received and status (Columns will not necessarily tally)**

|  |  |  |  |
| --- | --- | --- | --- |
| Application categories | Non-degree (employees) | Students | Total |
| 6.1 Total number of applications received *(from the pre-approval phase to the issuing of a final certificate)* |  |  |  |
| 6.2 Risk level of applications received | | | |
| 1. Number of negligible risk applications processed |  |  |  |
| 1. Number of low risk applications processed |  |  |  |
| 1. Number of medium risk applications processed |  |  |  |
| 1. Number of high risk applications processed |  |  |  |
| * 1. Types of applications received | | | |
| 1. Number of community-engaged research applications processed |  |  |  |
| 1. Number of health research applications processed |  |  |  |
| 1. Number of progress reports processed |  |  |  |
| 1. Number of requests for amendments processed |  |  |  |
| 1. Number of class approvals processed |  |  |  |
| 6.4 Decision status of applications |  |  |  |
| 1. Number of applications approved (with or without stipulations) |  |  |  |
| 1. Number of applications provisionally approved pending minor modifications *(resubmitted for verification)* |  |  |  |
| 1. Number of applications referred back for major revisions *(resubmitted for review)* |  |  |  |
| 1. Number of applications disapproved (the file has been closed) |  |  |  |
| 1. Total number of applications re-submitted *(for verification and review)* |  |  |  |
| 1. Total number of applications pending (in pre-approval stage, thus not submitted to RERC and all applications pending a final decision) |  |  |  |
| 1. Total number of applications withdrawn |  |  |  |

1. Monitoring and continuing review

(CRERCs with departmental ERCs must include the relevant information of the departmental ERCs below or append the information in section 10 of the report)

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| 7.1 (a) Did you receive reports about deviations or ethical transgressions or adverse events relating to any approved applications by the ERC? | **Yes** |  | | **NO** |  | | |
| (b) If answer above is yes, provide explanation. |  | | | | | | |
| (c) If answer is yes, how did you deal with any  study deviations/ethical transgressions? |  | | | | | | |
| 7.2 (a) Do you require reports from principal researchers, either annually, less or more frequently, depending on the risk category of research? | **YES** |  | **NO** | | | |  |
| (b) If answer above is no, provide an explanation. | The applications received have been low risk | | | | | | |
| 7.4 (a) Has the CRERC or any of the departmental ERCs been audited during 2019 – 2020 internally, institutionally (Internal Audit) or by the NHREC? | **YES** |  | | **NO** | |  | |
| 7.4 (b) If yes, provide actions to address the key non-compliance areas identified in the audit report. In follow-up reports, provide progress on actions. | | | | | | | |
| N/A | | | | | | | |

1. Complaints received

(CRERCs with departmental ERCs must include the relevant information of the departmental ERCs below or append the information in section 10 of the report)

|  |  |  |
| --- | --- | --- |
| Complaints and actions taken | Number | Type of complaint/ description of how it was resolved |
| 8.1 Complaints received about the conduct of an approved research study (data security conduct of researcher, consent, conflict of interests, etc.) |  |  |
| 8.2 Complaints received from researchers about the outcome of their application for ethics approval |  |  |
| 8.3 Complaints resolved by the RERC |  |  |
| 8.4 Complaints escalated for appeal |  |  |
| 8.5 Comments/any additional information |  | |

1. Activities relating to the implementation of the Unisa Research Ethics strategy

(CRERCs with departmental ERCs must include the relevant information of the departmental ERCs below or append the information in section 10 of the report)

|  |  |  |
| --- | --- | --- |
| 9.1 Number of ERC members trained in research ethics  Submit attendance register or attendance certificates to [tmdakat@unisa.ac.za](mailto:tmdakat@unisa.ac.za) for record keeping. | 1. Level one (workshops, webinars, etc. with a duration of at least 3 hours) |  |
| 1. Level two (TRREE or equivalent) – competency assessment included |  |
| 1. Other (i.e. awareness raising, mentoring, conference or seminars attended) |  |
| 9.2 Identify activities to promote succession planning (inclusion of young, emerging academics in the CRERC/departmental ERCs, induction training, mentoring, etc.) |  | |
| 9.3 Does the CRERC/ departmental ERCs comply with the requirement to store research ethics application data securely on ECM? |  | |
| 9.4 If no, provide actions to address the non-compliance with the data storage requirements. In follow-up reports, provide progress on actions. |  | |
| 9.5 Activities to ensure accessibility to research ethics training and application resources (updated College websites) |  | |
| 9.6 Activities to promote or streamline the application process i.e. flow diagrams, amendment of application forms, booklet containing SOPs, etc. |  | |
| 9.7 Identify any compliance risks experienced by the CRERC/departmental ERCs |  | |
| 9.8 Are you planning to motivate for the appointment of a Research Ethics and Integrity Advisor or dedicated research ethics administrative assistant? If yes, provide information on the progress. |  | |
| 9.9 Identify any challenges experienced by the CRERC/departmental ERCs |  | |
| 9.10 Identify any highlights experienced by the CRERC/departmental ERCs |  | |

1. ATTACHMENTS

*I**f there is a need for any additional supporting information, then they may be included as attachments. The attachments can be listed under this section for the reader’s benefit.*

1. **RECOMMENDATIONS**

*The URERC notes the report.*

1. **APPROVAL BY THE HEAD OF RESEARCH (CRERC REPORTS) OR THE RESEACH ETHICS CHAIR (ERC REPORTS)**

Specifically indicate whether the report is supported by the Chairperson of the PRC\_REW.

|  |  |
| --- | --- |
| YES |  |
| NO |  |

**……………………………..………….**

**Signature: Chairperson**

………………………//end

1. Reporting periods: 1st Quarterly report: 1 Jan – 31 March; Midyear report: 1 Jan – 30 June; 3rd Quarterly report: 1 Jan – 30 September; Annual report: 1 Jan – 31 December [↑](#footnote-ref-1)